



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO		Complete if Known			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/788,300		
		Filing Date	02/16/2001		
		First Named Inventor	Vahala		
		Art Unit	2877		
		Examiner Name	Michael Mooney		
Sheet	1	of	3	Attorney Docket Number	ALG08NP

U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
DPM		US- 09/440,311	filed 11-12-1999	Vahala et al	
		US- 09/454,719	filed 12-07-1999	Vahaia et al	
		US- 09/733,357	filed 12-07-2000	Yariv	
		US- 09/802,442	filed 03-09-2001	Painter et al	
		US- 60/183,499	filed 02-17-2000	Sercel et al	
		US- 60/226,147	filed 08-18-2000	Sercel et al	
		US- 60/257,248	filed 12-21-2000	Painter et al	
		US- 09/788,331	filed 02-16-2001	Sercel et al	
		US- 09/788,303	filed 02-16-2001	Sercel et al	
		US- 09/788,301	filed 02-16-2001	Sercel et al	
		US- 4,768,849	iss 09-06-1988	Hicks	
		US- 5,138,676	iss 08-11-1992	Stowe et al	
		US- 5,281,247	iss 01-25-1994	Haruhiko et al	
		US- 5,343,490	iss 08-30-1994	McCall	
		US- 5,471,551	iss 11-28-1995	Kragl et al	
		US- 5,875,272	iss 02-23-1999	Kewitsch et al	
		US- 5,926,496	iss 07-20-1999	Ho et al	
		US- 6,009,115	iss 12-28-1999	Ho	
MEM		US- 6,052,495	iss 04-18-2000	Little et al	
		US- 6,101,300	iss 08-08-2000	Fan et al	

FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
DPM		FR 2,739,195	pub 03-28-1997	Knight et al	

Examiner Signature		Date Considered	4/7/03
--------------------	--	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO		Complete if Known			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/788,300		
		Filing Date	02/16/2001		
		First Named Inventor	Vahala		
		Art Unit	2877		
		Examiner Name	Michael Mooney		
Sheet	2	of	3	Attorney Docket Number	ALG08NP

U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
MLM		US- 6,212,318	iss 04-03-2001	Cryan	
		US- 6,243,517	iss 06-05-2001	Deacon	
		US- 6,293,688	iss 09-25-2001	Deacon	
		US- 6,321,011	iss 11-20-2001	Deacon	
		US- 6,324,204	iss 11-27-2001	Deacon	
		US- 6,341,189	iss 01-22-2002	Deacon	
		US- 6,373,872	iss 04-16-2002	Deacon	
		US- 6,393,185	iss 05-21-2002	Deacon	
		US- 6,393,186	iss 05-21-2002	Deacon	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

RECEIVED
OCT 15 2002
TECHNOLOGY CENTER 2800

FOREIGN PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

Examiner Signature		Date Considered	4/7/03
-----------------------	--	--------------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/788,300
		Filing Date	02/16/2001
		First Named Inventor	Vahala
		Group Art Unit	2877
		Examiner Name	Michael Moonev
		Attorney Docket Number	ALG08NP
Sheet	3	of	3

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS		
Examiner Initials ²	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
MPH		J. C. Knight, G. Cheung, F. Jacques, and T. A. Birks, "Phased-matched excitation of whispering gallery-mode resonances by a fiber taper", Optics Letters Vol. 22 1129 (1997)
		N. Dubreuil, J. C. Knight, D. K. Leventhal, V. Sandoghdar, J. Hare, and V. Lefevre, "Eroded monomode optical fiber for whispering-gallery mode excitation in fused-silica microspheres", Optics Lett. 20 813 (1995)
		M. Kuwata-Gonokami, R. H. Jordan, A. Dodabalapur, H. E. Katz, M. L. Schilling, R. E. Slusher, and S. Ozawa, "Polymer microdisk and microring lasers", Optics Letters Vol 20(20) 2903 (1995)
		Y. Kawabe, Ch. Spiegelberg, A. Schulzgen, M. F. Nabor, B. Kippelen, E. A. Mash, P. M. Allemand, M. Kuwata-Gonokami, K. Takeda, and N. Peyghambarian, "Whispering-gallery-mode microring laser using a conjugated polymer", Applied Physics Letters Vol 72(2) 141 (1998)
		Ming Cai, Guido Hunziker, and Kerry Vahala, "Fiber-optic add-drop device based on a silica microsphere whispering gallery mode system", IEEE Photonics Technology Letters Vol. 11 686 (1999)
		Ming Cai, Oskar Painter, and Kerry J. Vahala, "Observation of critical coupling in a fiber taper to a silica-microsphere whispering-gallery mode system", Physical Review Letters, Vol. 85(1) 74 (2000)
		B.A. Little, S.T. Chu, H. A. Haus, J. Foresi, and J.-P. Laine, "Microring channel dropping filters", J. Lightwave Technology Vol. 15 998 (1997)
		Giora Griffel, "Synthesis of optical filters using ring resonator arrays", IEEE Photonics Technology Letts. Vol. 12 810 (2000)
MPH		S. V. Frolov, Z. V. Vardeny, and K. Yoshino, "Plastic microring lasers on fibers and wires", Applied Physics Letters Vol 72(15) 1802 (1998)
		S. V. Frolov, A. Fujii, D. Chinn, Z. V. Vardeny, K. Yoshino, and R. V. Gregory, "Cylindrical microlasers and light emitting devices from conducting polymers", Applied Physics Letters, Vol 72(22) 2811 (1998)

Examiner Signature		Date Considered	4/7/03
--------------------	--	-----------------	--------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

RECEIVED
OCT 15 2002
TECHNOLOGY CENTER 2800